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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☒ Declaration Submitted with Initial Filing
OR
☐ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number	091/010C
First Named Inventor	Melissa K. Carpenter, et al.
COMPLETE IF KNOWN	
Application Number	/ [to be assigned]
Filing Date	November 26, 2001
Art Unit	[to be assigned]
Examiner Name	[to be assigned]

As the below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Techniques for Growth and Differentiation of Human Pluripotent Stem Cells

(Title of the Invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY) [] as United States Application Number or PCT International

Application Number [] and was amended on (MM/DD/YYYY) [] (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 3]

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DECLARATION — Utility or Design Patent ApplicationDirect all correspondence to: ☒Customer Number
or Bar Code LabelOR ☐

Correspondence address below

022869

Name

PATENT TRADEMARK OFFICE

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :

☐ A petition has been filed for this unsigned inventorGiven Name
(first and middle [if any])

Melissa K.

Family Name
or Surname

Carpenter

Inventor's
Signature*MK Carpenter*

Date

11/26/01

Residence: City

Castro Valley

State

CA

Country

US

Citizenship

US

Mailing Address

20750 Edgewood Circle

City

Castro Valley

State

CA

ZIP

94552

Country

US

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventorGiven Name
(first and middle [if any])

Margaret S.

Family Name
or Surname

Inokuma

Inventor's
Signature*Margaret S. Inokuma*

Date

11/26/01

Residence: City

San Jose

State

CA

Country

US

Citizenship

US

Mailing Address

City

San Jose

State

CA

ZIP

Country

US

☒ Additional inventor is being named on the 1 supplemental Additional Inventor sheet PTO/SB/02A attached hereto.

Please type a plus sign (+) inside this box → ☐

PTO/SB/02A (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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DECLARATION

ADDITIONAL INVENTOR(S) Supplemental Sheet Page 3 of 3

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Chunhui		Xu	
Inventor's Signature <i>Chunhui Xu</i>		Date <i>11/26/01</i>	
Residence: City	Cupertino	State	CA
Country		Citizenship	
Mailing Address			
Mailing Address			
City	Cupertino	State	CA
ZIP		Country	
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	
Country		Citizenship	
Mailing Address			
Mailing Address			
City		State	
ZIP		Country	
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any])		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	
Country		Citizenship	
Mailing Address			
Mailing Address			
City		State	
ZIP		Country	

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box → ☐

PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	[to be assigned]
Filing Date	November 26, 2001
First Named Inventor	Melissa K. Carpenter, et al.
Title	Techniques for Growth and Differentiation of Human Pluripotent Stem Cells
Group Art Unit	[to be assigned]
Examiner Name	[to be assigned]
Attorney Docket Number	091/010C

I hereby appoint:

☒ Practitioners at Customer Number

022869

OR

☐ Practitioner(s) named below:



Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number

Place Customer
Number Bar Code
Label here

☐ Firm or
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name

David J. Earp, Registration No. 41,401
Vice President, Intellectual Property, Geron Corporation

Signature

Date

Nov. 26, 2001

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 form is submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

COPY

PATENT
Docket No.: 091/200PCT

ASSIGNMENT

Whereas we, Melissa K. Carpenter, Walter D. Funk, Joseph D. Gold, Margaret S. Inokuma, and Chunhui Xu

executed employment agreements with Geron Corporation (hereinafter called Geron), a Delaware Corporation having its principal place of business at 230 Constitution Drive, Menlo Park, CA 94025, whereby we have agreed to assign to Geron all inventions (except as otherwise limited by law) which relate to Geron business and which were first conceived or actually reduced to practice during our employment by Geron;

Now, therefor, pursuant to the terms of said employment agreements and for good and valuable consideration, receipt of which is hereby acknowledged, we do hereby sell, assign and transfer unto Geron, its successors and assigns, the entire right, title and interest, including the right of priority in, to and under an application for Letters Patent of the United States entitled:

TECHNIQUES FOR GROWTH AND DIFFERENTIATION OF HUMAN PLURIPOTENT STEM CELLS

Serial No. PCT/US01/01030 filed on 10 January 2001 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, we agree promptly upon request of Geron, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Geron, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me in lending such cooperation and assistance are paid by Geron.

In witness whereof, we hereunto set our hands and seal:

Inventor's Signature: MK Carpenter Date: 2/2/01
Melissa K. Carpenter

Inventor's Signature: _____ Date: _____
Walter D. Funk

Inventor's Signature: Joseph D. Gold Date: 2/2/01
Joseph D. Gold

Inventor's Signature: Margaret S. Inokuma Date: 2/20/01
Margaret S. Inokuma

Inventor's Signature: Chunhui Xu Date: 2/13/01
Chunhui Xu

State of California

) ss.

County of San Mateo

Before me this 2nd day of February 2001 personally appeared
Melissa K. Carpenter personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.



Notary Stamp/Seal

K. Makusky
Notary Public

State of California

) ss.

County of San Mateo

Before me this 2nd day of February 2001 personally appeared
Joseph D. Gold personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.



Notary Stamp/Seal

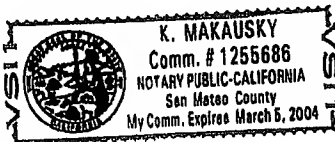
K. Makusky
Notary Public

State of California

) ss.

County of San Mateo

Before me this 20th day of February 2001 personally appeared
Margaret S. Inokuma personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.



Notary Stamp/Seal

K. Makusky
Notary Public

State of California

} ss.

County of San Mateo

Before me this 13th day of February 2001 personally appeared
Chunhui Xu personally known to me (or proved to me on the basis of satisfactory evidence)
to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he/she executed the
same in his/her authorized capacity, and that by his/her signature on the instrument the person executed the instrument.



Notary Stamp/Seal

K. Makusky

Notary Public

091/200PCT

ASSIGNMENT

Whereas we, Melissa K. Carpenter, Walter D. Funk, Joseph D. Gold, Margaret S. Inokuma, and Chunhui Xu

executed employment agreements with Geron Corporation (hereinafter called Geron), a Delaware Corporation having its principal place of business at 230 Constitution Drive, Menlo Park, CA 94025, whereby we have agreed to assign to Geron all inventions (except as otherwise limited by law) which relate to Geron business and which were first conceived or actually reduced to practice during our employment by Geron;

Now, therefor, pursuant to the terms of said employment agreements and for good and valuable consideration, receipt of which is hereby acknowledged, we do hereby sell, assign and transfer unto Geron, its successors and assigns, the entire right, title and interest, including the right of priority in, to and under an application for Letters Patent of the United States entitled:

TECHNIQUES FOR GROWTH AND DIFFERENTIATION OF HUMAN PLURIPOTENT STEM CELLS

Serial No. PCT/US01/01030 filed on 10 January 2001 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, we agree promptly upon request of Geron, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Geron, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me in lending such cooperation and assistance are paid by Geron.

In witness whereof, we hereunto set our hands and seal:

Inventor's Signature: _____ Date: _____
Melissa K. Carpenter

Inventor's Signature: _____ Date: 2.06.01
Walter D. Funk

Inventor's Signature: _____ Date: _____
Joseph D. Gold

Inventor's Signature: _____ Date: _____
Margaret S. Inokuma

Inventor's Signature: _____ Date: _____
Chunhui Xu

STATEMENT UNDER 37 CFR 3.73(b)

COPY

Applicant/Patent Owner: Geron Corporation

Application No./Patent No.: [to be assigned]

Filing Date: May 16, 2001

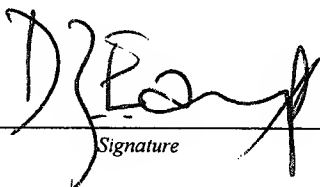
Entitled: TECHNIQUES FOR GROWTH AND DIFFERENTIATION OF HUMAN PLURIPOTENT STEM CELLS

GERON CORPORATION, a corporation, states that it is the assignee of the entire right, title, and interest in the patent application/patent identified above by virtue of:

An assignment from the inventors of parent application PCT/US01/01030, a true copy of which is attached hereto.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

May 15, 2001
Date


Signature

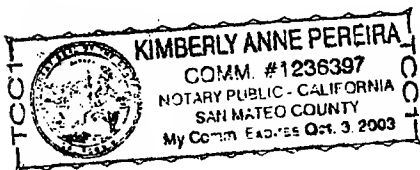
David J. Earp, Reg. No. 41,401
Typed or printed name

Vice President, Intellectual Property
Title

CALIFORNIA ALL-PURPOSE CERTIFICATE OF ACKNOWLEDGMENT

State of California
 County of Santa Clara

On 2-6-01 before me, Kimberly Anne Pereira
Date Name, title of officer
 personally appeared Walter D. Funk
Name(s) of Signer(s)



☒ Personally known to me
 OR

☐ Proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

Kimberly Anne Pereira
 Signature of notary

OPTIONAL

The data below is not required by law, however it may prove valuable to persons relying on the document and could prevent fraudulent reattachment of this form.

SIGNATURE AUTHORITY OF SIGNER:		DESCRIPTION OF ATTACHED DOCUMENT
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<input type="checkbox"/> CORPORATE OFFICER(S)		
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